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<b>UTILITY PATENT APPLICATION TRANSMITTAL</b>  (Only for new nonprovisional applications under 37 CFR 1.53(b))	<b>Attorney Docket No.</b>	36194/42366
	<b>First Inventor</b>	Tully et al.
	<b>Title</b>	System And Method For The Automated Brokerage Of Financial Instruments
	<b>Express Mail No.</b>	EV328618216US

<b>APPLICATION ELEMENTS</b> See MPEP chapter 600 concerning utility patent application contents.	<b>ADDRESS TO:</b> Mail Stop Patent Application Commissioner for Patents P.O. Box 1450, Alexandria, VA 22313-1450
1. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.	5. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program ( <i>Appendix</i> )
2. <input checked="" type="checkbox"/> Specification [Total Pages 99] (preferred arrangement set forth below) <input checked="" type="checkbox"/> Descriptive title of the invention <input type="checkbox"/> Cross Reference to Related Applications <input type="checkbox"/> Statement Regarding Fed sponsored R & D <input type="checkbox"/> Reference to sequence listing, a table, or a computer program listing appendix <input checked="" type="checkbox"/> Background of the Invention <input checked="" type="checkbox"/> Brief Summary of the Invention <input checked="" type="checkbox"/> Brief Description of the Drawings ( <i>if filed</i> ) <input checked="" type="checkbox"/> Detailed Description <input checked="" type="checkbox"/> Claim(s) <input checked="" type="checkbox"/> Abstract of the Disclosure	6. Nucleotide and/or Amino Acid Sequence Submission ( <i>if applicable, all necessary</i> ) a. <input type="checkbox"/> Computer Readable Form (CRF) b. Specification Sequence Listing on: i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input type="checkbox"/> paper c. <input type="checkbox"/> Statements verifying identity of above copies
3. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 39]	<b>ACCOMPANYING APPLICATION PARTS</b>
4. Oath or Declaration [Total Pages 3] a. <input checked="" type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Unexecuted c. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63 (d)) (for continuation/divisional with Box 17 completed) i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b> Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).	7. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & document(s)) 8. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of Attorney (when there is an assignee) 9. <input type="checkbox"/> English Translation Document ( <i>if applicable</i> ) 10. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations 11. <input type="checkbox"/> Preliminary Amendment 12. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized) 13. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed) 14. <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent 15. <input type="checkbox"/> Certificate of Express Mail 16. <input type="checkbox"/> Other: _____

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17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No.: \_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_

Group Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 18. CORRESPONDENCE ADDRESS

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<b>Name</b>	Benjamin L. Volk, Jr.		<b>Registration No. (Attorney/Agent)</b>	#48,017
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Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, D.C. 20331. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: ASSISTANT COMMISSIONER for Patents, Box Patent Applications, P.O. Box 1450, Alexandria, VA 22313-1450

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PATENT APPLICATION FEE DETERMINATION RECORD				Application or Docket Number 36194/42366			
CLAIMS AS FILED - PART I				SMALL ENTITY		OR	OTHER THAN SMALL ENTITY
	(Column 1)	(Column 2)		RATE	FEE		RATE
FOR	NUMBER FILED	NUMBER EXTRA					
BASIC FEE (37 CFR 1.16(a))							770.00
TOTAL CLAIMS (37 CFR 1.16(c))	90 minus 20 =	70	x \$	=	0.00	OR	x \$18.00 = 1,260.00
INDEPENDENT CLAIMS (37 CFR 1.16(b))	11 minus 3 =	8	x \$	=	0.00	OR	x \$86.00 = 688.00
MULTIPLE DEPENDENT CLAIM PRESENT (37 CFR 1.16(d))				+ \$	=	OR	+ \$ =
* If the difference in column 1 is less than zero, enter "0" in column 2				TOTAL	0.00	OR	TOTAL 2,718.00

- ☒ A check in the amount of \$2,718.00 is attached.
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- ☐ Charge the amount of \$
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Dated: October 22, 2003

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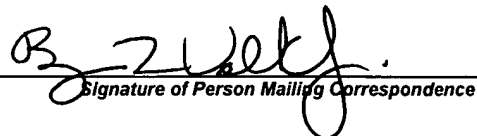


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Benjamin L. Volk, Jr.

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